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Thermodynamic and Kinetic Limitations for Peroxide and Superoxide Formation in Na–O₂ Batteries

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Abstract

The Na–O₂ system holds great potential as a low cost, high energy density battery, but under normal operating conditions, the discharge is limited to sodium superoxide (NaO₂), whereas the high capacity peroxide state (Na₂O₂) remains elusive. Here, we apply density functional theory calculations with an improved error-correction scheme to determine equilibrium potentials and free energies as a function of temperature for the different phases of NaO₂ and Na₂O₂, identifying NaO₂ as the thermodynamically preferred discharge product up to ~120 K, after which Na₂O₂ is thermodynamically preferred. We also investigate the reaction mechanisms and resulting electrochemical overpotentials on stepped surfaces of the NaO₂ and Na₂O₂ systems, showing low overpotentials for NaO₂ formation ($\eta_{\text{dis}} = 0.14$ V) and depletion ($\eta_{\text{cha}} = 0.19$ V), whereas the overpotentials for Na₂O₂ formation ($\eta_{\text{dis}} = 0.69$ V) and depletion ($\eta_{\text{cha}} = 0.68$ V) are found to be prohibitively high. These findings are in good agreement with experimental data on the thermodynamic properties of the Na_xO₂ species and provide a kinetic explanation for why NaO₂ is the main discharge product in Na–O₂ batteries under normal operating conditions.

Key Words: Na–O₂ batteries, NaO₂, Na₂O₂, DFT, Thermodynamic and Kinetic, Overpotentials

Possible Electrochemical Discharge

Products in Na-O₂ Batteries

$$\Delta G = -2.4 \text{ eV}$$

$$\eta_{\text{dis}} = 0.69 \text{ eV}$$

Thermodynamically
favored

Kinetically
favored

$$\Delta G = -2.3 \text{ eV}$$

$$\eta_{\text{dis}} = 0.14 \text{ eV}$$

I. Introduction

In the last decade, significant efforts have been paid to the development of next generation battery technologies. In particular metal–air batteries (e.g. Li–, Na–, Mg–, Al–, Fe– and Zn–O₂ batteries) in either aqueous or non-aqueous (aprotic) electrolytes have gained significant attention, especially for its possible use in electric vehicles. The cost of commercially available Li–ion batteries is generally too high and the energy storage capacity is too low to solve the increasing demands on batteries for sustainable transportation.¹ Metal–air batteries have high theoretical specific energies since the technology, once mature, would apply metal as the anode and oxygen gas from air on the cathode side. The discharge products are generally peroxides and/or superoxides, depending on the experimental conditions and cell components used in the system. The oxygen reduction (ORR) and oxygen evolution reaction (OER) are the two main reactions taking place reversibly during discharge and charge, respectively. However, metal–air battery technologies are limited by a number of drawbacks and challenges, which must be resolved before becoming commercially viable, i.e., low accessible capacity (sudden death)², poor electronic conductivity and rechargeability^{3,4} limited chemical and electrochemical stability of electrodes^{5,6} electrolytes⁷, salts⁸, and high sensitivity to air impurities such as water and CO₂.^{9–11}

Among the rechargeable metal-oxygen battery systems reported so far, the Li–O₂ couple offers higher equilibrium potential (~2.96 V) and specific capacity (~3,842 mAh/g), which is comparable to the gravimetric energy density of gasoline¹² and nearly an order of magnitude higher than current Li–ion batteries.¹³ However, in practice, non-aqueous Li–O₂ batteries suffer from poor rechargeability and high overpotentials, particularly for the charging process.^{14, 15} Although the capacity and equilibrium potential are lower, the Na–O₂ battery system displays certain advantages over the Li–O₂ battery and similar batteries. The non-aqueous secondary Na–O₂ battery operates at low dis/charge overpotentials (< 200 mV) even at higher current densities (0.2 mA/cm²) and yields high electrical energy efficiency (90 %), which can be observed over multiple cycles.^{16–20} The theoretical specific capacity of the Na–O₂ battery is ~1,500 mAh/g¹⁸, when NaO₂ is deposited on carbon nanotubes. If, however, the peroxide, Na₂O₂, could be formed reversibly as for Li–O₂, it would be possible to increase the specific capacity to ~2,800 mAh/g.²¹

Hartmann *et al.*^{17,22}, McCloskey *et al.*²³ and Tarascon *et al.*²⁴ have reported sodium superoxide (NaO₂) as the dominant reaction product. Whereas, Kim *et al.*²¹, Li *et al.*²⁵, Lie *et al.*²⁶ and Hu *et al.*²⁷ have reported sodium peroxide (Na₂O₂) as the dominant discharge product. Poor rechargeability (< 10 cycles) and high charging overpotential (> 1.3 V) is exhibited when Na₂O₂ is formed at the cathode at room temperature, which are similar to the drawbacks observed in the

Li–O₂ system. However, sufficiently lower dis/charge overpotentials and higher rechargeability are observed when NaO₂ is formed^{17,18,20} Moreover, it has been also argued on the basis of density functional theory (DFT) calculations that the reason for NaO₂ formation over Na₂O₂ could be its conduction mechanism²⁸, solvents²⁹ and the presence of proton sources like water.³⁰

Scanning electron microscopy (SEM) images have revealed that highly ordered cubic NaO₂ particles are grown at the carbon cathode surface.^{17,22} A computational study by Kang *et al.* reports that NaO₂ is more stable at the nanoscale level (up to about 5 nm), whereas bulk Na₂O₂ is thermodynamically stable at standard conditions (in agreement with experimental observations). For electrochemical growth during battery discharge, the size of the NaO₂ particles is, however, found in the micrometer range (1-50 μm).¹⁷ The observed stoichiometry of the particles can therefore not be explained solely from the effect of the differences in surface energy, nor the effect of e.g. increased oxygen partial pressure or temperature, which may lead to the formation of somewhat larger NaO₂ particles (up to 20 nm based on the calculations by Kang *et al.*³¹). This is further supported by the reported effect of the discharge rate on the sizes and distribution of NaO₂ on carbon nanotubes, where relatively small sizes (~50–500 nm) with a wide distribution are observed at low rate and large sizes (~2 μm) with a narrow distribution are observed at higher rates.³²

Regarding the NaO₂ charge/discharge mechanism, Hartmann *et al.* have reported computational and experimental work, which indicates that large amounts of NaO₂ can be formed at the cathode. This is due to high solubility of NaO₂ in the liquid electrolyte, i.e. forming superoxide ions (O₂⁻), followed by precipitation in the presence of sodium ions to form solid sodium superoxide. Therefore, the discharge mechanism may also follow a solution-precipitation mechanism in addition to the direct electrochemical growth of NaO₂ investigated here.^{24,33}

The reaction for non-aqueous Na–O₂ cathode electrochemistry using ether based electrolytes like diglyme, is shown below.²³

Here, we apply DFT calculations to investigate the thermodynamic and kinetic properties of the materials and reactions in Na–O₂ batteries. We will discuss the thermodynamic stability and kinetic overpotentials for the growth/depletion pathways of NaO₂ and Na₂O₂ on selected stepped model surfaces, i.e. (001) for NaO₂ and (1 $\bar{1}$ 00) for Na₂O₂ and the equilibrium potential of different phases of bulk NaO₂ and Na₂O₂ as a function of temperature. The stepped surfaces are likely to give accessible barriers and favorable nucleation sites for the minimum overpotential mechanism, as it has been reported in case of Li–O₂.³⁴

It should be noted that the correct description of the thermodynamics of reactions involving superoxide vs. peroxide species (i.e. to describe the relative stability of NaO_2 vs. Na_2O_2 at finite temperatures) is computationally challenging, mainly due to the precession of misaligned superoxide species in the high temperature pyrite phase of NaO_2 ($\text{Fm}\bar{3}\text{m}$ above 231 K) relative to the low temperature pyrite phase ($\text{Pa}\bar{3}$, between 200 K and 231 K) (see Figure 1). Such effects and energetics are generally not accounted for in standard density functional theory (DFT) calculations, making it highly challenging to calculate the stability at finite temperatures. Systematic work on the modeling of alkali superoxides and peroxides using DFT+U and hybrid functional calculations is currently ongoing, but in the following, we describe a comparatively simple GGA-level computational approach using metal chloride reference energies³⁵, which yields excellent agreement with the experimental observations.

II. COMPUTATIONAL METHODOLOGY

Calculations are performed using the PBE (Perdew-Burke-Ernzerhof)³⁶ exchange correlation functional as implemented in the GPAW package³⁷ using the Atomic Simulation Environment (ASE).³⁸ A real space grid basis set on the projector augmented wave (PAW) function method with frozen core approximation has been used with 0.18 Å grid point spacing.^{39,40} Dipole corrections have been applied in the direction perpendicular to the slab surface and ionic optimization converged to a maximum residual force of 0.03 eV/Å. The NaO_2 growth/depletion mechanism is studied on the stepped (001) surface of NaO_2 in the $\text{Pa}\bar{3}$ space group, thus neglecting the precession of the superoxide ions. We have used the ferromagnetic phase of NaO_2 in all the calculations (i.e., the initial magnetic moment value of each O atom in NaO_2 was set to 0.5 since previous theoretical studies reported it to be more stable than the antiferromagnetic phase by 15 meV per formula unit.²⁸ The k-points are sampled with a $2 \times 4 \times 1$ Monkhorst-Pack mesh and the supercell consists of 60-72 atoms. A vacuum layer of 21.2 Å is used. A stepped ($1\bar{1}00$) surface of Na_2O_2 (space group $\text{P}\bar{6}2\text{m}$) with a super cell consisting of 88-96 atoms slab with a 20 Å vacuum layer is used to study the Na_2O_2 growth/depletion mechanisms. This surface termination has been extensively studied in pristine form as well as in the presence of defects like steps and kinks for Li-O_2 .^{9,34,41–43} The k-points are sampled with a $2 \times 2 \times 1$ Monkhorst-Pack mesh.

Figure 1: a) $Pnnm$ NaO_2 orthorhombic structure (Marcasite) with lattice constants $a = 4.26 \text{ \AA}$, $b = 5.44 \text{ \AA}$, $c = 3.36 \text{ \AA}$. b) Face-centered cubic $Pa\bar{3}$ NaO_2 structure (Pyrite) with lattice constant $a = 5.523 \text{ \AA}$. This phase occurs between 200 K and 231 K. Above 231 K the superoxide ions hop freely between the eight equivalent (111) orientations in a cube. Thus, the space group becomes $Fm\bar{3}m$ above 231 K. c) Hexagonal Na_2O_2 structure space group of $P\bar{6}_2m$ with lattice constants of $a = 6.39 \text{ \AA}$, $b = 6.39 \text{ \AA}$ and $c = 4.6 \text{ \AA}$. Color: Yellow (Sodium), Red (Oxygen).

The computational sodium electrode approach is used in the free energy calculations, analogous to the lithium electrode approach used for Li–air batteries.^{44,45} At zero potential, $U = 0$, the bulk Na anode and Na ions in solution are assumed to be in equilibrium ($\text{Na} \leftrightarrow \text{Na}^+ + e^-$). The free energy change of the reaction is shifted by $-neU$ at an applied bias, where n is the number of electrons transferred.

At neutral bias, all reaction steps are downhill in free energy, but at a given potential, the free energy difference changes for each step calculated as,

$$\Delta G_{i,U} = \Delta G_i - eU \quad (1)$$

The limiting discharge potential ($U_{\text{discharge}}$) is the lowest free energy step, $\Delta G_{i,\text{min}}$, along the reaction path, as this the first step to becomes uphill at a given potential. Likewise, the largest free energy step, $\Delta G_{i,\text{max}}$, that is last to become downhill for the reverse charging reaction giving the limited charge potential (U_{charge}):

$$U_{\text{discharge}} = \min[-\Delta G_i/e] \text{ and } U_{\text{charge}} = \max[-\Delta G_i/e] \quad (2)$$

The calculated effective equilibrium potential can be obtained as $U_o = \Delta G/ne$.

Large systematic errors in the DFT description of superoxides, peroxides and monoxides have previously been documented by various groups and accounted for in various ways.^{31,34,35} Here, we

adopt the recent approach of Christensen *et al.* ³⁵ using NaCl as an indirect reference for sodium in order to better account for the oxidation state of Na in the Na–O₂ system. In line with Christensen *et al.* ³⁵ an energy correction is applied to O₂ (g), which is notoriously difficult to describe correctly with DFT. With the computational approach used here, the optimal energy correction of O₂ (g) is –0.33 eV. The approach is chosen as it reduces the systematic errors significantly, while allowing consistent calculation of surfaces with oxide species in different oxidation states required for studying reactions in Na–O₂ batteries.

III. RESULTS AND DISCUSSIONS

3.1. Enthalpy of Formation and Equilibrium Potential

To evaluate the accuracy of the calculations, bulk enthalpies of formation are compared with experiments ⁴⁶ as seen in Table 1. The calculated formation enthalpies are converted to free energies at standard conditions ($\Delta H_{\text{form}} \rightarrow \Delta G_{\text{form}}$) using experimental entropies ⁴⁶ and the equilibrium potentials are then calculated. As an alternative to using the experimental entropies, we also determine the equilibrium potentials using the simple approximation that the entropy can be described without explicitly considering the vibrational contributions to the entropy, as they are similar in O₂ (g) and the O₂^{•–} and O₂^{2–} ions. As the superoxide ions are known to rotate easily in the NaO₂ pyrite phase at room temperature, the rotational degrees of freedom will to a good approximation also be similar for O₂ (g) and the superoxide ions. This is not the case for Na₂O₂, where the orientation of peroxide ions is well-defined at all relevant temperatures. This simple approximation has obvious flaws, e.g. will it not be able to capture the low temperature structural changes of NaO₂ due to differences in the rotational degrees of freedom of superoxide ions in different phases. It does, however, have the advantage of being simple to calculate with standard thermodynamic approaches. Comparison with experiment also proves the simple assumption to be reasonable (see Figure 2). It can also be seen that the experimental data for NaO₂ at 0 K is identical to the calculated result for the low temperature *Pnnm* structure.

Figure 2: DFT-based equilibrium potentials predicted with the approximation that the temperature dependence is only due to the translational and rotational degrees of freedom for O_2 (g). This simple approximation is in good agreement with experimental data and reproduces relatively small free energy differences between Na_2O_2 and NaO_2 .

For computational investigations of the electronic properties of Na_xO_2 species, e.g. band gaps and transport properties, standard GGA-level calculations are unable to capture the strongly correlated nature of NaO_2 .²⁸ In the present work, however, the main focus is on the calculated formational enthalpies and here, the applied GGA-based approach agrees very well with both higher level methods²⁸ and experiments.⁴⁶ As seen in Table 1, the difference in equilibrium potential for NaO_2 and Na_2O_2 at standard conditions is less than 0.1 V for the experimental results, the calculated enthalpies with experimental entropies, and the purely theoretical calculations with approximated entropies. This indicates that required overpotentials in the electrochemical reactions to Na_2O_2 and NaO_2 could be decisive for the product selectivity.

Table 1: Calculations for Na₂O₂ and the pyrite phase of NaO₂ are compared with experimental values ⁴⁶ in parentheses. Equilibrium potentials are calculated both using experimental entropies ($U_{0, \text{exp } \Delta S}$) and with a simple approximation to temperature dependence ($U_{0, \text{approx. } \Delta S}$).

	$\Delta_f H^\circ$ [eV] ($\Delta_f H^\circ_{\text{exp}}$)	$U_{0, \text{exp. } \Delta S}$ [V] ($U_{0, \text{exp}}$)	$U_{0, \text{approx. } \Delta S}$ [V]
<i>P</i>$\bar{a}3$ NaO₂	-2.74 (-2.71)	-2.30 (-2.27)	-2.29
<i>P</i>$\bar{6}2m$ Na₂O₂	-5.29 (-5.32)	-2.32 (-2.33)	-2.39

3.2. NaO₂ Growth/Depletion Mechanisms on Stepped Surfaces

The thermochemical properties of the four steps in the NaO₂ growth/depletion are investigated on a stepped (001) NaO₂ surface. The method does not include specific effects of the electrolyte or possible kinetic barriers associated with the transport of the ions/molecules. DFT calculations can determine the preferred pathways for the discharge/charge mechanisms by comparing the free energies of the adsorbed species at every single step. The stepped surface is constructed from the bulk crystal in a specific direction in such a way that four sodium superoxide species are added (removed) at the step site for the complete pathways of growth (depletion).

In general, the NaO₂ growth/depletion mechanisms on stepped (001) NaO₂ surface follows a four-step mechanism; each step involving the deposition (depletion) of either Na⁺ or NaO₂⁺ species (electrochemical steps) or O₂ species (chemical step) and both are taken into account to generate all likely pathways. The thermodynamically favorable path, i.e. the lowest overpotential path is selected. Thus, as shown in Figure 3, the first step for the (001) surface is the adsorption of NaO₂ at the bottom left site. This is the potential limiting step for discharge (-2.20 V) and is followed by adsorption of the second NaO₂ species at the bottom right site with a binding energy of -2.42 eV; the third and the fourth NaO₂ species are adsorbed by -2.22 eV and -2.54 eV, respectively. The fourth step is the limiting charge potential step and the growth mechanism is completed by forming 4 sodium superoxide species with equilibrium potential of -2.34 eV. The charging or desorption process follows the same reaction steps applied in reverse order (right to left), as shown in Figure 3 and Figure 4.

Figure 3: A four-step growth/desorption mechanism on the (001) step surface of NaO_2 . In a) and b) NaO_2 species adsorbs to the bottom site. In c) and d) NaO_2 adsorbs to the top site to complete the 4 formula units NaO_2 reaction mechanism. Color: Na (purple) and O (red). Highlighted deposited ions: Na (yellow) and O (green).

The studies of the growth/depletion mechanisms on the stepped NaO_2 surface revealed that the fundamental overpotentials for both charge and discharge are very low, which has also been observed experimentally.²³ A discharge (charge) overpotential of $\eta_{\text{dis}} = 0.14 \text{ V}$ ($\eta_{\text{cha}} = 0.19 \text{ V}$) for the growth (depletion) mechanism is observed. The calculated equilibrium potential at the surface ($U_{\text{o,surf}} = 2.34 \text{ V}$) is marginally higher than the calculated bulk value of $U_{\text{o,bulk}} = 2.30 \text{ V}$, which is expectedly a consequence of the size of the supercell.

All pathways involving a purely thermochemical step for O_2 ab/desorption are found to be inactive, due to high overpotential for the electrochemical steps ($> 1.0 \text{ V}$).

Figure 4: The calculated free energy diagram for NaO₂ growth/desorption mechanisms on stepped (001) NaO₂ surface.

3.3. Na₂O₂ Growth/Depletion Mechanisms on Front and Back Stepped ($\bar{1}\bar{1}00$) Surfaces

The Na₂O₂ discharge and charge pathways are studied on double stepped (front and back) ($\bar{1}\bar{1}00$) Na₂O₂ surface. Several pathways consisting of both chemical and electrochemical species have been investigated. As illustrated in Figure 5 and 6, the preferred growth (depletion) mechanism is found to be the path that has four electrochemical species, i.e. either Na⁺ or NaO₂^{*}, adsorbed to the step surface successively to grow (deplete) two formula units of Na₂O₂. This path becomes possible at minimum discharge (charge) overpotential of $\eta_{\text{dis}} = 0.69$ V ($\eta_{\text{cha}} = 0.68$ V). The first step is adsorption of NaO₂^{*} species (Figure 5a) with a binding energy of 3.06 eV, which is the potential limiting step for the charge process and followed by the addition of NaO₂^{*} (Figure 5b) with a binding energy of 2.98 eV. The last two steps are additions of two Na⁺ species consecutively, with binding energies of 1.78 eV and 1.68 eV (the last step is the potential limiting step for discharge), as shown in Figures 5c and 5d. The full growth mechanism is accomplished with the growth of two formula units of Na₂O₂ at the step surface with an equilibrium potential of $U_0 = 2.37$ V. The calculated equilibrium potential is here in agreement with that calculated for bulk Na₂O₂. The charging process follows the same reaction steps as the discharge but in reverse order (from d to a in Figure 5 and

right to left in Figure 6). All pathways involving a purely thermochemical step are found to be inactive due to high overpotential for the electrochemical steps (> 1.5 V). The identified growth mechanism is similar to the one previously reported for Li_2O_2 ,^{9,44} but the fundamental overpotentials for charge/discharge of Na_2O_2 are found to be substantially higher than those for Li_2O_2 .

We thus find the overpotentials for growth (depletion) of Na_2O_2 of 0.69 V (0.68 V) to be prohibitively large compared to the low overpotential mechanism on NaO_2 (0.14 V and 0.19 V) and this therefore effectively blocks the formation of the thermodynamically preferred Na_2O_2 , explaining why NaO_2 is the primary discharge product at standard conditions, as observed experimentally.

Figure 5: A four-step Na_2O_2 growth pathway on front and back stepped Na_2O_2 ($1\bar{1}00$) surface during discharge. a) NaO_2 , b) NaO_2 , c) Na and d) Na consecutively adsorbs to the step surface to complete the growth of 2 formula units of Na_2O_2 . Color: Na (purple) and O (red). Highlighted deposited ions: Na (yellow) and O (green).

Figure 6: Calculated free energy diagrams for a four step Na_2O_2 growth mechanism on a stepped $(1\bar{1}00)$ Na_2O_2 surface, resulting in discharge (charge) overpotential of $\eta_{\text{dis}} = 0.69\text{V}$ ($\eta_{\text{cha}} = 0.68\text{V}$).

3.4. Thermodynamics of Solution-Precipitation Mechanism

In the present work, the direct electrochemical crystal growth mechanism on stepped superoxide and peroxide surfaces, i.e. the so-called surface-based mechanism, has been thoroughly investigated using ab initio methods. However, it is important to note that for most electrolytes in Na-O_2 batteries, the solution-based mechanism dominates over the surface-based mechanism.^{23,24,33,47,48} Although, to the best of our knowledge, the solvating energy of NaO_2 , $\Delta G_{\text{NaO}_2}^{\text{sol}}$, has not been experimentally measured, it is possible to approximate it from the experimental solvating energies of LiO_2 , $\Delta G_{\text{LiO}_2}^{\text{sol}}$, estimated by Johnson et al.⁴⁹ and the DFT dissolution energies of NaO_2 and LiO_2 , calculated by Kim et al.⁵⁰

Kim et al. calculated that the dissolution energy of NaO_2 is $\sim 0.9\text{ eV}$ lower than that of LiO_2 , while in the four solvents studied by Johnson et al., $\Delta G_{\text{LiO}_2}^{\text{sol}}$ spans from $+0.37\text{ eV}$ for acetonitrile to -0.27 eV for 1-methylimidazole (a negative sign implies that the solution-based mechanism is preferred over the surface-based mechanism). Assuming that the difference in dissolution energies can be rigidly translated to the solvating energies (this is a very rough approximation), we infer that the solution-based mechanism is highly preferred in Na-O_2 batteries (from 0.5 eV/f.u. for acetonitrile to 1.2 eV/f.u. in 1-methylimidazole).

Since the disproportionation reaction of superoxide species formed in solution, i.e. $2 \text{NaO}_2 \rightarrow \text{Na}_2\text{O}_2 + \text{O}_2$, will depend on the donor and acceptor number of the electrolyte⁵¹, the formation of Na_2O_2 from the solution based mechanism would be suppressed in traditional high donor number electrolytes like DME and DMSO, pushing the product distribution further towards NaO_2 formation.

IV. CONCLUSIONS

The free energy as a function of temperature for different phases of NaO_2 and Na_2O_2 , as well as the dis/charge mechanisms on selected stepped surfaces have been investigated computationally using DFT calculations. Using a new metal chloride reference scheme, which accounts for the change in the oxidation state of the metal atoms, and a simple approximation to the entropic contributions, it is possible to describe the free energies of formation as a function of temperature for NaO_2 and Na_2O_2 in good agreement with experimental data. The experimentally found reaction product at room temperature, i.e. NaO_2 , is slightly less thermodynamically stable than the expected Na_2O_2 product, but we show that the formation and depletion of Na_2O_2 is limited by large discharge and charge overpotentials of $\eta_{\text{dis}} = 0.69 \text{ V}$ and $\eta_{\text{cha}} = 0.68 \text{ V}$, respectively. In contrast, the overpotentials for formation and dissolution of NaO_2 are small ($\eta_{\text{dis}} = 0.14 \text{ V}$ and $\eta_{\text{cha}} = 0.19 \text{ V}$). The large difference in overpotentials, compared to the small difference of 0.10 eV in equilibrium potential can explain how epitaxial growth during discharge of a Na– O_2 battery results in the formation of NaO_2 as a dominant discharge product over the thermodynamically more stable Na_2O_2 in non-aqueous Na– O_2 batteries as observed in experiments.

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